



Public Schools of North Carolina
State Board of Education
Department of Public Instruction

Exceptional Children Division Program Compliance Review 2018-2019

LEA Name

LEA Number

Dates of Visit:

Monitoring Consultant:

Date of Report:

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Monitoring Authority

The Individuals with Disabilities Education Improvement Act (IDEA), (20 U.S.C. 1400 (c)(1)), provides federal funds to assist states in educating children with disabilities and requires each participating state to ensure that school districts and other publicly-funded educational agencies in the state comply with the requirements of IDEA and its implementing regulations. Further, Section 616 of IDEA states that the primary focus of federal and state monitoring activities shall be on improving education results and functional outcomes for all children with disabilities and ensuring that states meet the program requirements with a particular emphasis on those requirements that are most closely related to improving educational results for children with disabilities. Article 9 of Chapter 115C of the North Carolina General Statutes requires local school districts to provide appropriate special education and related services and requires the North Carolina Department of Public Instruction (NCDPI) to establish, monitor, and enforce regulations governing special education programs in the North Carolina public schools and all institutions wholly or partly supported by the state. The Exceptional Children Division of the NCDPI supervises and conducts the general supervision process in furtherance of the state's obligations under IDEA and Article 9.

Alignment to State Performance Plan/Annual Performance Report (SPP/APR)

The Office of Special Education Programs (OSEP) has implemented an accountability framework designed to more directly support states in improving the results for infants, toddlers, children and youth with disabilities, and their families. Section 616(a)(2) of the IDEA requires that the primary focus of IDEA monitoring be on improving educational results and functional outcomes for children with disabilities, and ensuring that states meet the IDEA program requirements.

Therefore, data for the *Part B Compliance Indicators* collected through this monitoring activity includes:

- Indicator 13: Secondary Transition.

Additionally, the data collected through this monitoring activity provides information for use with:

- Indicator 17: State Systemic Improvement Plan (SSIP).

Alignment to the EC Division Strategic Plan

Strategy A: Provide customized support for LEAs

- Objective A-1: Ensure every LEA has tools to measure fidelity of intervention and effectiveness of services.
- Objective A-2: Ensure every LEA collects, analyzes, and utilizes valid and reliable data, including data profile, to make informed decisions.

Strategy D: Implement an effective general supervision system

- Objective D-4: Implement monitoring activities to ensure compliance with state and federal statutes and regulations.

Alignment to the LEA Self-Assessment/Practice Profile

Core Element 1: Policy Compliance and Monitoring

- The LEA provides training on the legal requirements of IDEA, Article 9, and NC Policies Governing Services for Children with Disabilities.
- The LEA has an effective system for internal monitoring and general supervision, including IEP implementation.
- LEA uses effective methods and practices for resolving complaints/disputes (formal and informal) within required timelines.

Note: Core Element 1 aligns with Indicator 17: State Systemic Improvement Plan.

Purpose of the Visit

The Program Compliance Review is a comprehensive monitoring activity used to ensure that students with disabilities are provided a free appropriate public education. This activity occurs every five years for all local education agencies (LEAs), which includes traditional school systems, charter schools, and state operated programs. Additionally, the Program Compliance Review is utilized in the second semester of the first year of operation for all new charter schools.

Monitoring Team

The Monitoring Team is composed of consultants from the North Carolina Department of Public Instruction Exceptional Children Division (NCDPI ECD) and is led by the assigned regional monitor. The following team members participated in the on-site visit.

Name	Position
Monitors Name	NC DPI: ECD Monitoring Consultant

Methodology: Program Compliance Review

The core components of the Program Compliance Review are:

- Student Record Review
- Interviews regarding EC Process
- Student Service Verification
- Related Service Verification

- LEA Resources
- Licensure

The number of student records selected is based on the sampling chart below with additional records selected for monitoring transition elements. These student records become the “*Student Monitoring Sample*” utilized for each of the core components for this monitoring activity.

A description of and a rating scale for the core elements are found within each section of the report. The data collection period for the core elements of related services verification and student outcomes is the completed grading period just prior to the monitoring visit.

Number of LEAs with Active Child Count	Student Monitoring Sample			**Indicator 13: Secondary Transition Sample
	Active Child Count	Number of Records	*Number of Schools	
158	Up to 100	5	3	Up to 10
35	101-250	7	3	10
27	251-500	10	3	15
25	501-1000	15	3	20
23	1001-2000	20	6	25
11	2001-3500	25	6	30
3	3501-5000	30	6	35
1	5001-6500	35	6	40
2	6501-8000	40	9	45
1	8001-10,000	45	9	50
2	>10,000	50	9	55

*Number of Schools: *The number of records was equitably distributed between elementary, middle, and high school grade levels. For charter schools or state operated programs, the number of records in the Student Monitoring Sample was distributed equitably across grade spans to the extent appropriate for the LEA.*

**Number of Records for Indicator 13: *The number of records selected for monitoring secondary transition includes records from the Student Monitoring Sample. The additional records are pulled to provide a representative sample from across the school system.*

A summary of each core component is provided. The report concludes with notification of commendations, recommendations, procedural violations (if any), compliance standing, corrective action, and associated timelines and resources to support the LEA in ensuring meaningful outcomes for students with disabilities.

Student Monitoring Sample and Profile

The student monitoring sample was collected from the following schools:

Elementary School(s):

Middle School(s):

High School(s):

The Student Profile was developed by reviewing the attendance, discipline, grades, and achievement levels from state-mandated assessments for the Student Monitoring Sample. The rubrics below indicate the criteria for the rating of each area. The data selection period correlates with the last grading period prior to the on-site monitoring visit for attendance, discipline and grades. The achievement levels are reported from the last state assessment in which the student participated. PowerSchool was utilized as the authoritative source for these data.

Note: These data are meant to be a snapshot of the student profile for a particular point in time.

Attendance	
Good	0-3 absences
Fair	4-10 absences
Poor	10+ absences

Discipline: OSS Days	
Good	0-2 days
Fair	3-5 days
Poor	5+ days

Grades	
Good	All grades: C or above
Fair	1-2 grades: D
Poor	1+ grades: F

State Tests Reported
EOC: English II
EOC: Math I
EOG: ELA/Reading
EOG: Math
NCEXTENDI: English II
NCEXTENDI: Math I
NCEXTENDI: ELA/Reading
NCEXTENDI: Math
NCEXTENDI: Combined Grade 11

Achievement Levels (AL)	
Level 5	Superior Command
Level 4	Solid Command
Level 3	Sufficient Command
Level 2	Partial Command
Level 1	Limited Command

Student UID	Grade	Disability	Attendance	Discipline	Grades	State Test	AL
	4	AU	Good	Fair	Fair	EOG: ELA/Reading	2

Indicator 13: Secondary Transition Sample

The sample was collected from the following high schools:

Student UID	Grade	Disability		Student UID	Grade	Disability
	11	AU				

Student Record Review

The Student Record Review was completed by reviewing each student's EC file. The *Special Education Student Record Review Protocol* measures paperwork compliance in the areas of: Informed Consent for the Provision of Services, Prior Written Notice, Initial Evaluation/Reevaluation, Eligibility, IEP Development and Implementation, and Secondary Transition.

Criteria for Corrective Actions:		
Criteria for Individual Student Corrective Actions:	Less than	100%
Criteria for LEA Level Actions:	Less than	80%

[insert table from spreadsheet]

Corrective Action Required: Yes No

Interviews

Interviews regarding EC Process were conducted with LEA administrators, including EC directors/coordinators, EC teachers, and related services providers at the selected school sites. Responses were scored on average for each group and across schools using the *Interview Rubric*. Items measured the working knowledge of Child Find, Discipline, Transfer Students, and Secondary Transition.

EC Process Examined	Average Number of Required Elements	Cumulative Rating
Child Find		
Discipline		

Transfer Process: Out of State		
Transfer Process: In State		
Secondary Transition		

Recommendations Offered: Yes No

Service Verification

In order to verify that services were provided in accordance with the IEP, the following components were reviewed: one identified service from each student's IEP, the EC teacher's schedule and classroom observations by a monitoring team member. Service delivery was considered "Compliant" if services were delivered by appropriately licensed EC staff and as specified on the IEP with a clear relationship to the IEP goals. If the service verification was determined to be "Non-Compliant," the reason will be noted in the comment section of the chart below.

Student UID	Service	Location	Comments	Compliant (Yes/No)
	Reading 4xW :30min	SE	Observed	Yes

Corrective Action Required: Yes No

Recommendations Offered: Yes No

Related Services Verification

Related services logs were reviewed for the last completed grading period prior to the on-site visit. The logs were compared to the corresponding IEPs of the students on the related services provider's caseload to determine if the services were provided in accordance with the service delivery plan articulated on the student's IEP.

Student UID	Related Service	Location	Comments	Compliant (Yes/No)
	OT 4xRP :30min	SE	Verified	Yes

Corrective Action Required: Yes No

Recommendations Offered: Yes No

LEA Resources

This portion of the tool reviews the information the LEA makes available to parents and students regarding resources in the following areas: Child Find, Discipline, Transfer/Incoming New Students and local Dispute Resolution. Recommendations for this area (if any) will be noted in the summary of this report.

Essential Question: What mechanisms are used to provide information regarding the EC process, procedures, and LEA contact information?

LEA Resources	Website	Handbook	Other
Child Find Process	(Yes/No)	(Yes/No)	(No information required if there is no "Other")
Discipline Procedures			
Transfer Students			
Dispute Resolution			

Recommendations Offered: Yes No

Licensure

Licensure was reviewed in the context of the names of the EC staff, licensure codes, expiration date, and composition of instructional assignment for the school sites identified in the Student Monitoring Sample, and according to the service provider observed during the Student Service Verification/Related Services Verification. This information was gathered through the use of a template provided to the EC director/coordinator upon notification of the visit and the selected sites. The EC director/coordinator also provided a determination as to whether the licensure was compliant which was then verified by the DPI monitoring consultant.

School Name					
EC Service Provider Name	Licensure Code(s)	Expiration Date	Class Composition	Teacher licensure area matches at least one student area of eligibility (Yes/No)	Verified (Yes/No)
Ed Teacher	08091	06/30/2023	AU, SLD, OHI	Yes	Yes

Corrective Action Required: Yes No

Summary

Commendations

(General bulleted list)

Recommendations

(Sub-headers of the areas with bullets)

It is highly recommended that the LEA utilize the data in this report in conjunction with the LEA Self-Assessment: Practice Profile to inform system-wide school improvement planning.

Procedural Violations

- NC 1500-2.27 Related Services
 - (a) General.
 - (b) Exception: services that apply to children with surgically implanted devices, including cochlear implants.
 - (c) Individual related services terms defined.
- NC 1501-12.2 Personnel Qualifications
 - (a) General.
 - (b) Related services personnel and paraprofessionals.
 - (c) Qualifications for special education teachers.
 - (d) Qualifications for special education directors.
 - (e) Provisional licenses may be granted to individuals working toward licensure as a special education director.
 - (f) LEAs must take measurable steps to recruit, hire, train, and retain highly qualified personnel to provide special education and related services to children with disabilities.
 - (g) Rule of construction.
- NC 1501-12.4 Participation in Assessments
 - (a) General.
 - (b) Accommodation guidelines.
 - (c) Alternate assessments.
 - (d) Explanation to IEP Teams.
 - (e) Inform parents.

- (f) Reports.
 - (g) Universal design.
- NC 1503-2.4 Reevaluations
 - (a) General.
 - (b) Limitation.
 - (c) Reevaluation of Children Identified as Developmentally Delayed.
- NC 1503-2.5 Evaluation Procedures
 - (a) Notice.
 - (b) Conducting the evaluation.
 - (c) Other evaluation procedures.
 - (d) Required screenings and evaluation for eligibility determination.
- NC 1503-2.6 Additional Requirements for Evaluations and Reevaluations
 - (a) Review of existing evaluation data.
 - (b) Conduct of review.
 - (c) Source of data.
 - (d) Requirements if additional data are not needed.
 - (e) Reevaluation before change in eligibility for special education.
 - (f) Reevaluation of children identified as developmentally delayed.
- NC 1503-2.7 Determination of Eligibility
 - (a) General.
 - (b) Special rule for eligibility determination.
 - (c) Procedures for determining eligibility and educational need.
- NC 1503-4 Individualized Education Programs (IEP)
- NC 1503-4.1 Definition of individualized education program
 - (a) General.
 - (b) Transition services.
 - (c) Transfer of rights at age of majority.
 - (d) Construction.
- NC 1503-4.2 IEP Team
 - (a) General.
 - (b) Transition services participants.
 - (c) Determination of knowledge and special expertise.
 - (d) Designating an LEA representative.
 - (e) IEP Team attendance.
 - (f) Initial IEP Team meeting for child under Part C.
- NC 1503-4.3 Parent Participation
 - (a) Public agency responsibility--general.
 - (b) Information provided to parent(s).
 - (c) Other methods to ensure parent participation.
 - (d) Conducting an IEP meeting without a parent in attendance.
 - (e) Use of interpreters or other action, as appropriate.
 - (f) Parent copy of child's IEP.
- NC 1503-5 Development of IEP
- NC 1503-5.1 Development, Review, and Revision of IEP
 - (a) Development of IEP.
 - (b) Review and revision of IEPs.
 - (c) Failure to meet transition objectives.

- (d) Children with disabilities in adult prisons.
- NC 1504-1.4 Prior Notice by the LEA; Content of Notice
 - (a) Notice.
 - (b) Content of notice.
 - (c) Notice in understandable language.

Compliance Status

Upon the review of data collected in the report, the LEA is found (*compliant or noncompliant*) in meeting the requirements of IDEA and its implementing regulations.

Corrective Action Timelines

Area	Required Action	Evidence of Correction	Due Date
Student Record Review			
Student Service Verification			
Related Service Verification			
Licensure			

All Corrective Action must be completed by the timelines specified within this report. This includes Prong 2 activities. Successful completion of all Corrective Action within a year of notification results in compliant reporting for the LEA Determinations.

Evidence of Correction must be submitted, upon completion, to:

[Monitor's Name], Monitoring Consultant
 Policy, Monitoring, and Audit Section
 Exceptional Children's Division
 North Carolina Department of Public Instruction
 6356 Mail Service Center ~ Raleigh, NC 27699-6356
 [Email address]
 [Phone number]

Resources